

***R e d u c t i o n***

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***P a c k a g e***

RIF Workgroup  
02.14.02



**SPECIFICATIONS FOR  
REDUCTION IN FORCE (RIF) SYSTEM**

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## **SPECIFICATIONS FOR REDUCTION IN FORCE (RIF) SYSTEM**

### **1 OBJECTIVE**

To develop a retention service credit for performance ratings that incorporates the revised OPM Performance Appraisal changes. This retention service credit for performance rating will be accessible from the National Finance Center's Reduction-in-Force (RIF) program durable for all agencies serviced under the National Finance Center in compliance with OPMS rules and regulations.

### **II PROPOSED SYSTEM**

The current RIF program does not take into account the different patterns of summary rating levels when providing employees additional retention service credit based on performance in reduction in force competition. The proposed system will allow entry of variable rating patterns which will be used in the determination of retention service credit for performance ratings. These changes are necessary to adhere to 5 CFR 351.504 of the regulations. The basic RIF factors of tenure, veterans' preference, seniority, remain the same, however, the different performance rating patterns throughout the agencies must be recognized.

With the recommendations in this package, the basic procedures for producing RIF registers will be:

A Upon entrance to the RIF system, user will be prompted for:

- 1 the selection criteria to identify the group(s) of competing employees for the register; and,
- 2 the values assigned to the rating pattern levels for use in determining additional service credit for performance ratings.

(Refer to Section III for information on User Entry.)

B System will gather all the data elements for the group(s) of competing employees meeting the selection criteria. (See Section IV and Attachment 1 for database field listing.)

C System will assign/determine retention groups for each employee based on tenure and veteran preference. (See Section V on Determination of Retention Group.)

D Based on the values assigned by the agency for their rating pattern, the system will give each rating of record within the past four year the assigned value. These values will be used to determine the additional service credit based on performance ratings. (See Section VI on Determination of Additional Service Credit.)

E System will determine a MODAL rating based on the summary of ratings for the competing group and assign this MODAL rating to employees who have no rating of record within the past four years. (See section VII on Determination of Modal Rating.)

F The system will add the additional service credit based on the performance ratings or modal rating onto the service computation dates for RIF.

G System will produce the RIF register by retention group and length of service augmented by performance credit.

H The system will also produce reports showing the factors that were considered in determining the retention groups and determining the additional service credit for performance ratings. (See section IX on RIF reports.)

These steps are explained in more detail in the succeeding sections.

### III USER ENTRY

A Selection Criteria. Users will be prompted to enter the selection criteria to identify the competitive area for the RIF register. Following is a list of data elements that the users will be prompted to enter:

DATA ELEMENT	ENTRY	VALUE
POI NUMBER	OPTIONAL	RANGE FROM 0000 TO 9999

ORGANIZATIONAL CODE	OPTIONAL	RANGE FROM ORG_AGCY TO LEVEL 8
COMPETITIVE LEVEL CODE (from PMSO)	OPTIONAL	RANGE FROM 0000 TO 9999
<b>DATA ELEMENT</b>	<b>ENTRY</b>	<b>VALUE</b>
OCCUPATIONAL SERIES	OPTIONAL	RANGE FROM 0000 TO 9999
PAY PLAN	OPTIONAL	RANGE FROM AA TO ZZ
GRADE	OPTIONAL	RANGE FROM 01 TO 15
SUPERVISORY CODE	OPTIONAL	RANGE FROM 2 TO 8
DUTY STATION CODE	OPTIONAL	RANGE
COMBINED METRO STATISTICAL AREA (CMSA)	OPTIONAL	
STANDARD METRO STATISTICAL AREA (SMSA)	OPTIONAL	RANGE FROM 0000 TO 9999
SPECIAL COMPETITIVE AREA (DOC ONLY)	OPTIONAL	RANGE FROM A TO Z

Users will have control of restricting the size of the competitive area by entering one or more of the data elements for the selection criteria. The more criteria entered, the more restrictive the group of competing employees.

B Rating Pattern. Users will be prompted to enter the values for their rating pattern specific to their agency. Agencies must decide how many years of retention service credit within an allowable range of 12 to 20 years to assign to particular summary rating levels in their patterns. Once that decision has been made, the user must fill in the appropriate value for this retention register where 'V' equals the value assigned by the agency for that Pattern/Level. The following chart will be displayed by the system for entry/completion of values by the users.

<b>PATTER N</b>	<b>LEVEL 1</b>	<b>LEVEL 2</b>	<b>LEVEL 3</b>	<b>LEVEL 4</b>	<b>LEVEL 5</b>	<b>LEVEL 9 (DOC DEMO)</b>
<b>A</b>	0	N/A	<b>V</b>	N/A	N/A	<b>V</b>

<b>B</b>	0	N/A	<b>V</b>	N/A	<b>V</b>	N/A
<b>C</b>	0	N/A	<b>V</b>	<b>V</b>	N/A	N/A
<b>D</b>	0	0	<b>V</b>	N/A	N/A	N/A
<b>E</b>	0	N/A	<b>V</b>	<b>V</b>	<b>V</b>	N/A
<b>PATTER N</b>	<b>LEVEL 1</b>	<b>LEVEL 2</b>	<b>LEVEL 3</b>	<b>LEVEL 4</b>	<b>LEVEL 5</b>	<b>LEVEL 9</b>
<b>F</b>	0	0	<b>V</b>	N/A	<b>V</b>	N/A
<b>G</b>	0	0	<b>V</b>	<b>V</b>	N/A	N/A
<b>H</b>	0	0	<b>V</b>	<b>V</b>	<b>V</b>	N/A

NOTE: Credit value of 0 (zero) must be assigned for Level 1 or 2 in any Pattern. An agency may assign credit value in whole numbers ranging from 12 through 20 for any Pattern where Level is 3, 4 or 5. (Replace 'V' with credit value.) N/A means that the level is not applicable for the pattern.

NFC will use the information in this chart to determine the additional service credit for performance as explained in Section VI.

C Freeze Date. User will enter a "freeze date" to indicate the last rating cycle date. This freeze date will be used by the system as an ending date in the determination of the one-year review period for the modal ratings. This date will appear on the RIF register for internal office use.

D As of Date. User will enter the "as of date" to indicate the actual date the RIF is to occur. It will be used by the system as an ending date for the four-year review period for performance ratings. This date will appear on the RIF register for internal office use.

E Modal Rating. The user will be given an option to enter a "modal rating" if they choose not to use the one generated by the system. The modal rating generated by the system will be based on the ratings for the competitive area (see section VII). If the user chooses to use a modal rating based on a larger subdivision or for the entire agency, then the modal rating (as determined by the user) should be entered.

#### IV DATA ELEMENTS AND RETRIEVAL

The RIF register should be based on each employee's position of record, regardless of any grade retention rights or temporary assignments. Therefore, the Position Management System (PMSO) is to be used to retrieve the position related data elements for the RIF register such as the employee's duty station, organizational code, grade, etc. Using the PMSO database, the RIF system should select information for the obligated SSNO first and, if there is no obligated SSNO, then it should select information for the incumbent SSNO of each position in the competitive area. The system should then retrieve the remaining data elements that are unique to the SSNO (obligated or incumbent) from the PAYPERS database.

The PMSO and PAYPERS data elements that are to be used in the production of RIF registers are identified in Attachment 1 and should already be defined to FOCUS.

Employees in the Senior Executive Service (pay-plan 'ES'), Foreign Executive Service (FE), and the Executive Level (EX) should be excluded from this RIF system.

#### V DETERMINATION OF RETENTION GROUP

Based on the employee's tenure group and veteran preference-RIF code, the system will determine the retention group for each competing employee as follows:

IF TENURE EQUALS:	AND VETERAN PREFERENCE-RIF CODE EQUALS:	THEN RETENTION GROUP EQUALS:
0	1	OAD
1	1	1AD
2	1	2AD
3	1	3AD
0	2 and 5	0A
1	2 and 5	1A

2	2 and 5	2A
3	2 and 5	3A
0	3 and 4	0B
1	3 and 4	1B
2	3 and 4	2B
3	3 and 4	3B

## **VI DETERMINATION OF ADDITIONAL SERVICE CREDIT FOR PERFORMANCE RATINGS**

According to OPM regulations, ratings of record must be used to grant additional retention service credit in a reduction in force. This additional retention service credit for performance is based upon the employee's three most recent ratings of record received during the past 4 year period. In determining this service credit for performance ratings, the system will use the values assigned by the users in Section III B for their rating pattern. Since OPM has eliminated the use of assumed "fully successful" ratings for missing ratings, the actual rating(s) of record that are available will serve as the sole basis of the employee's credit. Based upon the variables entered by the user for their rating patterns, the system will determine the additional service credit for each employee as follows.

A Review the three most recent ratings received over the past four years counting from the "as of date" (minimum of 1 and maximum of 3 ratings). See section III D for information on the as of date.

B Assign a value to each rating based upon the rating pattern variables identified by the user,

C Add together the values assigned to each rating and divide by the number of ratings to determine the amount of additional retention service credit. (Fractions must be rounded to the next higher whole number.)

D Add this resulting value which is the additional

retention service credit to the service computation date for RIF to arrive at the adjusted SCD date.

E If no ratings are found for an individual, the system will determine a modal rating as explained in Section VII.

NOTE: Special service credit calculations apply to the Department of Commerce Demonstration Project and to the Department of Commerce Alternative Personnel Management System. These systems can be identified where Department equals "CM", and pay plan equals "ZA", "ZP", "ZS", and "ZT". In these systems only, assign a value to the rating pattern A, level 9, as indicated in the chart completed by the user (e.g., 10 years credit value). Add the total credits for the number of ratings of A9 (do not divide by the number of ratings used) for a total of no more than 30 additional years credit. Add this additional retention service credit to the service computation date for RIF to arrive at the adjusted SCD date. If no ratings of A9 are found for an individual, the system will assign a value of zero additional retention service. The use of a modal rating is not appropriate for these systems.

## **VII DETERMINATION OF MODAL RATING**

An employee who has not received any rating of record during the 4 year period shall receive credit for performance based on a modal rating. A modal rating is the most frequent or common rating given most often to employees in the competitive area. The system must determine the modal rating for employees who have no actual rating of record as follows:

A Count the most frequent rating used for employees in the competitive area by reviewing the ratings issued 1 year (365 days) prior to the freeze date. (See section III C for information on the freeze date.)

B Assign this rating to employees who have no ratings of record within the past four years,

C Assign a value to the modal rating based upon the rating pattern variables identified by the user and use as the amount of additional retention service credit.

D Add this additional retention service credit to the service computation date for RIF to arrive at the adjusted SCD date.

#### **VIII ORDER OF RANKING FOR RIF REGISTER**

The system must create separate RIF registers for employees in the competitive service and for employees in the excepted service. The position occupied field found in the Paypers database should be used to distinguish the two groups of employees. Within those separate registers, employees meeting the selection criteria shall be ranked on a RIF retention register in the following order.

A By specified sort field. Users will be prompted to select any additional sorts (besides the retention group/adjusted SCD date) which may be required. The default value for each available sort field will be set to 'NO'. Users must take action to change the NO to a YES if the register will require additional sorts.

	<b>SORT FIELD</b>	<b>ORDER</b>	<b>YES</b>	<b>NO</b>
1	Competitive Level Code	Ascending		
2	Occupational Series	Ascending		
3	Grade	Descending		
4	Supervisory Code	Ascending		
5	Duty Station	Ascending		

B By retention group. (See Section V on Determination of Retention Group.)

<b>ORDER OF RANKING</b>	<b>RETENTION GROUP</b>
1	1AD

2	1A
3	1B
4	2AD
5	2A
6	2B
7	3AD
8	3A
9	3B
10	0AD
11	0A
12	0B

C By the adjusted SCD-RIF date as augmented by credit for performance beginning with the earliest service date listed first.

D By last name.

## **IX RIF REPORTS**

The system should print the retention register along with supporting documentation showing what factors were considered in producing the RIF register. The following reports should be the output of the RIF retention process.

A Retention Group Factors. This report should list the factors that were considered in determining the retention group of employees in the competitive area. See sample report in Attachment 2.

B Performance Rating Factors. This report should list the ratings that were considered for each employee and show the point value assigned to each rating in the determination of the additional service credit. See sample report in Attachment 3.

C RIF Register. This is the actual RIF register produced in the order specified under Section VIII above. See

sample report in Attachment 4.

D Values for Summary Rating Patterns. A report identifying the values assigned to each rating pattern as specified by the user. See sample report in Attachment 5.

In addition to printing the report, a selection should be added to the report screen to give users an option to download the RIF register data file.

(Attachments)

**ATTACHMENT 1**

**DATABASE FIELD LISTING**

	<b>NAME</b>	<b>FOCUS FIELD NAME</b>	<b>USAGE FORMAT</b>
1	CONVERSION TO CAREER TENURE DATE	CNV_CAR_TN	YMD
2	COMPETITIVE LEVEL CODE	COMP_LV_CD (PMSO)	A04
3	DUTY STATION	DTY_CITY_CD (PMSO)	P04
		DTY_CNTY_CD (PMSO)	P03
		DTY_STATE_CD (PMSO)	A02
4	GRADE	GRADE (PMSO)	P02
5	MASTER RECORD NUMBER	MR_NO (PMSO)	A06
6	NAME	NAME_LAST	A17
		NAME_FIRST	A12
		NAME_INIT	A12
7	NOT-TO-EXCEED DATE OF APPOINTMENT	NTE_DATE	YMD
8	OCCUPATIONAL SERIES	OCC_SER (PMSO)	P04
9	OFFICIAL POSITION TITLE	POS_OFF_TITL (PMSO)	A38
10	ORGANIZATIONAL STRUCTURE CODES	ORG_AGCY (PMSO)	A02
		ORG_LEV2 (PMSO)	P02
		ORG_LEV3 (PMSO)	P02
		ORG_LEV4 (PMSO)	P04

		ORG_LEV5 (PMSO)	P02
		ORG_LEV6 (PMSO)	P02
		ORG_LEV7 (PMSO)	P02
		ORG_LEV8 (PMSO)	P02
1 1	PAY-PLAN	PAY_PLAN (PMSO)	A02
	<b>NAME</b>	<b>FOCUS FIELD NAME</b>	<b>USAGE FORMAT</b>
1 2	PAY RATE DETERMINANT CODE	PAY_RATE_DET	A01
1 3	PERFORMANCE EVALUATION ANNIVERSARY DATE	P_EVL_ANN	YMD
1 4	PERFORMANCE RATING	PERF-EVAL-RT (P011055D0704)	A02
1 5	PROMOTION NTE DATE	PROM_NTE	YMD
1 6	POSITION NUMBER	POS_NO (PMSO)	A08
1 7	POSITION OCCUPIED	POS_STAT_CSC	P01
1 8	RESIDENCE ADDRESS	ADR_CITY	A20
		ADR_CITY_CD	P04
		ADR_CNTY	P03
		ADR_CTRY_CD	A02
		ADR_CTRY_NAM	A02
		ADR_STREET	A25
		ADR_ZIP_4	A04
		ADR_ZIP_5	A05
1 9	SCD-RIF	SCD_RIF	YMD

2 0	SSN	SSNO	P09
2 1	SSN OF INCUMBENT	INCUMBEN_SSN (PMSO)	P09
2 2	SSN OF OBLIGATED POSITION	POS_OBLG_SSN (PMSO)	P09
2 3	SUPERVISORY CODE	POS_SUPV_CD (PMSO)	P01
2 4	TENURE GROUP	TENURE_GROUP	P01
2 5	TYPE OF APPOINTMENT	TYPE_APPT	P02
2 6	VETERAN PREFERENCE-RIF CODE	VET_PREF_RIF	A01

ATTACHMENT 2

SAMPLE REPORT ON RETENTION GROUP FACTORS SHOWING CONVERSION OF  
TENURE AND VETERAN PREFERENCE CODES INTO RETENTION GROUP

RETENTION GROUP FACTORS  
USED IN PRODUCTION OF RIF REGISTER  
PRINTED ON &DATE

NAME	SSN	TENURE GROUP	VETERAN PREFERENCE CODE	ASSIGNED RETENTION GROUP
Burke, Jo	111-11- 1111	1	1	1B
Cat, Jessie	222-22- 2222	1	1	1B
Jones, Dede	333-33- 3333	3	1	3B
Pond, Mia	444-44- 4444	1	6	1AD
Tance, Mike	555-55- 5555	1	2	1A

ATTACHMENT 3

SAMPLE REPORT ON PERFORMANCE RATING FACTORS SHOWING ASSIGNMENT OF SERVICE CREDIT FOR RATINGS AND ADJUSTMENT OF SCD-RIF

PERFORMANCE RATING FACTORS  
USED IN PRODUCTION OF RIF REGISTER  
PRINTED ON &DATE

EMPLOYEE NAME	RATINGS				ASSIGNED VALUES				TOTAL	AVG PERF	MODAL	SCD-RIF RATING	ADJUSTED SCD- RIF
	98	99	00	01	98	99	00	01	CREDIT	CREDIT			
Burke, Joe	-	H5	-	-	-	20	-	-		20	20	-	10/06/97 10/06/77
Cat, Jessie	-		H3	H5	H3	-	12	20	12	44	15	-	04/25/87 04/25/72
Jones, DeDe	-		-	-	-	-	-	-	-	-	-	20	08/21/94 08/21/74
Pond, Mia		H5		-	H5	-	20	-	20	-	40	20	- 03/31/80 03/31/60
Tance, Mike	-		-	H5	H3	-	-	20	12	32	16	-	06/10/68 06/10/52

# ATTACHMENT 4

## SAMPLE REPORT OF REDUCTION-IN-FORCE REGISTER RANKING COMPETING EMPLOYEES

AS OF DATE: \_\_\_\_\_ RIF - REGISTER FOR COMPETING EMPLOYEES  
 FREEZE DATE: \_\_\_\_\_ PRINTED ON &DATE

POI: 1811 TYPE OF SERVICE: Competitive  
 ORGANIZATIONAL CODE:

**From** HC-06-99-0000-00-00-00-00 **to** HC-06-99-0000-00-00-00-00

COMPETITIVE LEVEL CODE: OCCUPATIONAL SERIES: PAY-PLAN GRADE:  
 (no selection) **From** 0301 **to** 0301 **From** AA **to** ZZ **From** 01 **to** 15

SUPERVISORY CODE: DUTY STATION CODE: CMSA: SPECIAL COMP. AREA:  
 (no selection) (no selection) (no selection) (no selection)

\*\*\*\*\*  
 \*\*\* OCC GRADE RETN. ADJUSTED ORIGINAL EMPLOYEE NAME POSITION RATING  
 APPT-NTE  
 SERIES GROUP SCD-RIF SCD-RIF SSN TITLE VALUES PROM-NTE  
 98 99 00 01 M CONV-  
 DATE R

0301	07	1A	06/10/52	06/10/68	Tance, Mike	Admin Spec	-	-	20	12
				555-55-5555						
	1B		04/25/72	04/25/87	Cat, Jessie	Admin Spec	-	12	20	12
				222-22-2222						
	1B		10/06/77	10/06/97	Burke, Jo	Admin Spec	-	20	-	-
				111-11-1111						
	05	1AD	03/31/60	03/31/80	Pond, Mia	Admin Spec	20	-	20	-
				444-44-4444						

3B	08/21/74	08/21/94	Jones, DeDe	Admin
			Spec	- - - -
			333-33-3333	

# ATTACHMENT 5

SAMPLE REPORT OF RATING PATTERN INDICATING THE VALUES ASSIGNED FOR EACH LEVEL. THIS CHART WOULD BE COMPLETED BY THE USER UPON ENTRY TO THE RIF PROGRAM. THE VALUES ASSIGNED BY THE USER WILL BE USED BY THE SYSTEM TO DETERMINE THE ADDITIONAL SERVICE CREDIT FOR PERFORMANCE.

<i>PATTERN</i>	<i>LEVEL 1</i>	<i>LEVEL 2</i>	<i>LEVEL 3</i>	<i>LEVEL 4</i>	<i>LEVEL 5</i>
<i>A</i>	<b>0</b>	N/A	<b>12</b>	N/A	N/A
<i>B</i>	<b>0</b>	N/A	<b>12</b>	N/A	<b>20</b>
<i>C</i>	<b>0</b>	N/A	<b>12</b>	<b>20</b>	N/A
<i>D</i>	<b>0</b>	<b>0</b>	<b>12</b>	N/A	N/A
<i>E</i>	<b>0</b>	N/A	<b>12</b>	<b>20</b>	<b>20</b>
<i>F</i>	<b>0</b>	<b>0</b>	<b>12</b>	N/A	<b>20</b>
<i>G</i>	<b>0</b>	<b>0</b>	<b>12</b>	<b>20</b>	N/A
<i>H</i>	<b>0</b>	<b>0</b>	<b>12</b>	<b>20</b>	<b>20</b>

